



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Serial No. : 09/259,770
Applicant(s) : Stephen J. HODGDON et al.
Filed : February 26, 1999
Title : METHOD OF RISK MANAGEMENT AND OF ACHIEVING A RECOMMENDED
ASSET ALLOCATION AND WITHDRAWAL STRATEGY, AND COMPUTER
READABLE MEDIUM, APPARATUS AND COMPUTER PROGRAM THEREOF

Art Unit : 3624
Examiner : Jagdish PATEL

Docket No. : 3635-4000

REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT

Commissioner for Patents
P.O. BOX 1450
Alexandria, VA 22313-1450

Sir:

A corrected filing receipt is hereby requested in view of the errors which appear in the original. For the convenience of the Patent and Trademark Office, attached is a photocopy of the updated receipt on which the errors have been highlighted. Specifically, the filing date is incorrectly indicated to be March 1, 1999. Instead, the filing date should read: February 26, 1999. Attached are copies of the Certificate of Express Mailing and the Express Mail Label bearing February 26, 1999 as the date the present application was mailed.

- ☒ PTO ERROR: As the error was made by the Patent and Trademark Office, it is believed that no fee is due. However please credit or debit Deposit Account No. 13-4500, Order No. 3635-4000 as necessary to effect entry of the attached corrections.
- ☐ APPLICANT'S ERROR: In accordance with the provisions of Rule 1.19(h), please charge the requisite fee of \$25.00 to Deposit Account No. 13-4500, Order No. .

☒ The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or credit any overpayment to Deposit Account No. 13-4500, Order No. 3635-4000. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,
MORGAN & FINNEGAN, L.L.P.

Dated: June 18, 2003

By: 

Matthew K. Blackburn
Registration No. 47,428

Correspondence Address:

MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, NY 10154-0053
(212) 758-4800 Telephone
(212) 751-6849 Facsimile



S6/27
Receipt

Docket No. 3635-4000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Stephen J. HODGDON et al.

Group Art Unit: 3624

Serial No.: 09/259,770

Examiner: Jagdish PATEL

Filed: February 26, 1999

For: METHOD OF RISK MANAGEMENT AND OF ACHIEVING A RECOMMENDED
ASSET ALLOCATION WITHDRAWAL STRATEGY, AND COMPUTER
READABLE MEDIUM, APPARATUS AND COMPUTER PROGRAM THEREOF

CERTIFICATE OF MAILING (37 C.F.R. §1.8(a))

Mail Stop _____
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

I hereby certify that the attached:

1. Request for Corrected Official Filing Receipt;
2. Copy of Filing Receipt with correction in Red Ink;
3. Return Postcard

along with any paper(s) referred to as being attached or enclosed and this Certificate of Mailing are being deposited with the United States Postal Service on date shown below with sufficient postage as first-class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,
MORGAN & FINNEGAN, L.L.P.

Dated: June 18, 2003

By: _____

Matthew K. Blackburn
Registration No. 47,428

Correspondence Address:

MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, NY 10154-0053
(212) 758-4800 Telephone
(212) 751-6849 Facsimile

RECEIVED
JAN 09 2004
GROUP 3600



UNITED STATES PATENT AND TRADEMARK OFFICE

FILE COPY

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

APPLICATION NUMBER	FILING OR 371(c) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
09/259,770	03/01/1999	STEPHEN J. HODGDON	3635-4000

MORGAN AND FINNEGAN
 345 PARK AVENUE
 NEW YORK, NY 10154

CONFIRMATION NO. 5669



OC000000011540261

Date Mailed: 12/19/2003

RESPONSE TO REQUEST FOR CORRECTED FILING RECEIPT

Application Filing Date

In response to your request for a corrected Filing Receipt, the Office cannot comply with your request because:

- ☒ If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, a petition to accord a filing date should be submitted along with a copy of the Express Mail label showing the "date in" and be directed to the Office of Petitions.
- ☐ A copy of the Express Mail label was not enclosed with your request. Petitions under 37 CFR 1.10 require a copy of the Express Mail Label to be submitted.
- ☒ The "date in" on the Express Mail label is the date given on the Filing Receipt.
- ☐ The filing date accorded to the application is the date the application met the filing date requirements of 37 CFR 1.53(b) or (c).
- ☐ Applications submitted with a certificate of mailing under 37 CFR 1.8 are accorded a filing date as of the date the application is received in the U.S. Patent and Trademark Office. A request to review the filing date accorded to the application must be in the form of a petition.
- ☐ The filing date on your return postcard is the same as the date on your Filing Receipt. A request to review the filing date accorded to the application must be in the form of a petition.

A petition under 37 CFR 1.10, 37 CFR 1.53 or 37 CFR 1.182 is needed to request a change to the filing date. A \$130 petition fee is required for a petition under 1.53 or 1.182. If you choose to file a petition, the petition and the \$130 petition fee, if any, to:

Box DAC
 Commissioner for Patents

RECEIVED

JAN 09 2004

GROUP 3600

Washington, DC 20231

Senamany S.
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/259,770	[03/01/99]	2761	\$3,406.00	3635-4000	16	89	21

--02/26/99--

MORGAN AND FINNEGAN
345 PARK AVENUE
NEW YORK NY 10154

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

STEPHEN J. HODGDON, GREENWICH, CT; CHARLES W. KADLEC,
SUMMIT, NJ.

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 03/23/99

TITLE

SELIGMAN HARVESTER RISK MANAGEMENT SYSTEM FOR ACHIEVING A RECOMMENDED
ASSET ALLOCATION AND WITHDRAWAL STRATEGY

PRELIMINARY CLASS: 705

RECEIVED
DOCKET DEPT.
1999 MAR 29 P 11:30
MORGAN & FINNEGAN LLP

CASE 3635-4000 ATTY TVP

INFORMATION DISCLOSURE
STATEMENT

FOREIGN FILING

CONVENTION DATE EXPIRES

September 1, 1999
March 1, 2000



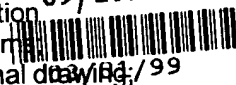
T. Pezzano

Case No. 3635-4000 Serial No. TDA
Date Mailed February 26, 1999 ATTY TVP
Date Due in the Patent Office _____

The return of this post card, properly stamped, will acknowledge receipt in the Patent & Trademark Office of the following:

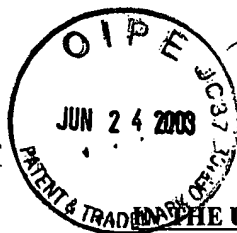
- 1.-
- 2.- Patent Application Fee Transmittal; Patent Application comprising 27 pgs. of Specification; 16 pgs. of Claims; and 1 pg. of Abstract; Sixteen (16) sheets of informal drawings; 99
- 3.-
- 4.- Six pages of Declaration and Power of Attorney (**EXECUTED**); Assignment of Application for Patent; Information Disclosure Statement; PTO-1449; Cited References; and Express Mail
- 5.- Certificate No. EH 057 145 152 US
- 6.- \$40 check - Assignment fee/\$3,810 check - filing fee
- 7.-

525 U.S. PTO
09/259770



CASE 3635-4000 ATTY TVP
INFORMATION DISCLOSURE STATEMENT _____
FOREIGN FILING Sept. 1, 1999
CONVENTION DATE EXPIRES Mar. 1, 2000

PATENT



Docket No. 3635-4000

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Stephen J. Hodgdon Group Art Unit: TBA
Charles W. Kadlec

Serial No. : To Be Assigned Examiner: TBA

Filed : Herewith

For : **THE SELIGMAN HARVESTERSM RISK MANAGEMENT SYSTEM FOR
ACHIEVING A RECOMMENDED ASSET ALLOCATION AND
WITHDRAWAL STRATEGY**

EXPRESS MAIL CERTIFICATE

Express Mail Label No. **EH 057 145 152 US**

Date of Deposit **February 26, 1999**

I hereby certify that the following attached paper(s) and/or fee

- (1) Patent Application Fee Transmittal;
- (2) Patent Application comprising 27 pgs. of Specification; 16 pgs. of Claims; and 1 pg. of Abstract
- (3) Sixteen (16) sheets of informal drawing;
- (4) Six pages of Declaration and Power of Attorney (**EXECUTED**);
- (5) Assignment of Application for Patent;
- (6) Information Disclosure Statement
- (7) PTO-1449;
- (8) Cited References; and
- (6) Return receipt postcard.

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

ALBERT ISLES

(Typed or printed name of person
mailing paper(s) and/or fee)

(Signature of person mailing
paper(s) and/or fee)

CORRESPONDENCE ADDRESS:

MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, New York 10154
(212) 758-4800
(212) 751-6849 Facsimile